

**Safety Attribute Inspection (SAI) Data Collection Tool**  
**1.3.11 Continuous Analysis and Surveillance (CAS) (AW)**

**ELEMENT SUMMARY INFORMATION**

**Purpose of This Element** (Certificate Holder's responsibility):

- To establish and maintain a system for the continuing analysis and surveillance of the performance and effectiveness of its inspection program and the program covering other maintenance, preventive maintenance, and alterations and for the correction of any deficiency in those programs, regardless of whether those programs are carried out by the Certificate Holder or by another person.

**Objective** (FAA oversight responsibility):

- To determine if the Certificate Holder's Continuous Analysis and Surveillance (CAS) System meets all applicable requirements of the Federal Aviation Regulations and FAA policies.
- To determine if the Certificate Holder's Continuous Analysis and Surveillance (CAS) System incorporates the System Safety Attributes.
- To identify any shortfalls in the Certificate Holder's Continuous Analysis and Surveillance (CAS) System.

**Specific Instructions:**

- Intentionally left blank

**SUPPLEMENTAL INFORMATION**

**Specific Regulatory Requirement(s) (SRRs):**

- SRRs:
  - 121.135(a)(1)
  - 121.135(b)(1)
  - 121.135(b)(2)
  - 121.135(b)(3)
  - 121.373(a)
  - 121.373(b)

**Related CFR(s) & FAA Policy/Guidance:**

- Related CFRs:
  - Intentionally left blank

- FAA Policy/Guidance:  
FAA Order 8300.10, Volume 2, Chapter 65  
FAA Order 8300.10, Volume 3, Chapter 37  
AC 120–16C

**SAI SECTION 1 – PROCEDURES ATTRIBUTE**

**Objective:** Procedures, instructions and information contained in Certificate Holder's manual are documented methods for accomplishing a process. Policies contained in the Certificate Holder's manual should establish the Certificate Holder's compliance posture. Policies may not be stand-alone statements but may be imbedded within procedures, instructions or information regarding a particular regulatory requirement. The questions in this section of the data collection tool are designed to assist the inspector in determining if the Certificate Holder's manual has documented or prescribed methods of accomplishing the process requirements that provide answers to the associated who, what, when, where and how type questions. This section of the data collection tool contains policy questions, procedural questions and instructional or informational questions pertaining to various types of Certificate Holder requirements such as actions, prohibitions or resources (i.e., personnel, facilities, equipment, technical data, etc.).

**Tasks**

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review the information listed in the Supplemental Information section of this data collection tool.
- 2 Review the duties and responsibilities for management and other personnel identified by the Certificate Holder who accomplish the Continuous Analysis and Surveillance System (CAS).
- 3 Review the Certificate Holder's manual to ensure that it contains policies, procedures, instructions and information necessary for the Continuous Analysis and Surveillance System (CAS).

**Questions**

To meet this objective, the inspector must answer the following questions:

- 1 Does the Certificate Holder's manual content meet the specific regulatory and FAA policy requirements for a Continuous Analysis and Surveillance (CAS) System:
  - 1.1 Does the Certificate Holder's manual contain general policies for the Continuous Analysis and Surveillance (CAS) System that comply with the specific regulatory requirements?  
SRRs: 121.135(b)(1); 121.373(a); 121.373(b)

*Related Design JTI's:*

  1. Check that the Certificate Holder's manual system contains a general policy that they must establish and maintain a system for the continuing analysis and surveillance of the performance and effectiveness of its inspection program and the program covering other maintenance, preventive maintenance, and alterations and for the correction of any deficiency in those programs, regardless of whether those programs are carried by the Certificate Holder or by another person.  
*Sources:* 121.373(a); 121.135(a)(1)  
*Interfaces:* 1.3.16-aw; 1.3.22-aw; 1.3.4-aw; 2.1.1-aw; 1.3.5-aw; 1.3.17-aw; 1.2.1-aw; 1.3.3-aw; 1.3.15-aw; 1.3.21-aw; 1.3.20-aw; 1.3.2-aw; 1.3.1-aw; 1.2.2-aw; 1.2.3-aw; 1.1.1-aw; 4.1.1-aw; 1.2.4-aw; 1.3.18-aw; 1.2.5-aw; 1.3.10-aw; 2.1.1-op; 1.3.7-aw; 1.3.6-aw; 1.3.9-aw; 1.3.8-aw; 1.3.24-aw
  2. Check that the Certificate Holder's manual contains a general policy that whenever the Administrator finds that either or both of the programs described in 14CFR part 121.373(a) does not contain adequate procedures and standards to meet the requirements of this part, the

☐ Yes  
☐ No, Explain

<p>Certificate Holder shall, after notification by the Administrator, make any changes in those programs that are necessary to meet those requirements.</p> <p><i>Sources:</i> 121.373(b); 121.135(b)(1)</p> <p><i>Interfaces:</i> 1.3.1–aw; 7.1.1–aw; 7.1.2–aw; 1.3.2–aw; 2.1.1–op; 2.1.1–aw; 1.3.15–aw</p>	
<p>1.2 Does the Certificate Holder's manual cite the regulatory requirements listed in the Supplemental Information section of this SAI?</p> <p>SRRs: 121.135(b)(3)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.3 Does the Certificate Holder's manual contain the duties and responsibilities for personnel who will accomplish the Continuous Analysis and Surveillance (CAS) System?</p> <p>SRRs: 121.135(b)(2)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.4 Does the Certificate Holder's manual include instructions and information for personnel to meet the requirements of the Continuous Analysis and Surveillance (CAS) System?</p> <p>SRRs: 121.135(a)(1)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5 Does the Certificate Holder's manual specify how the Certificate Holder will establish and maintain the following Continuous Analysis and Surveillance (CAS) Systems:</p> <p>SRRs: 121.135(a)(1); 121.373(a)</p>	
<p>1.5.1 The system for the continuing analysis and surveillance of the performance and effectiveness of its inspection program, regardless of whether that program is carried out by the Certificate Holder or by another person?</p> <p>SRRs: 121.373(a)</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the continuing analysis of the performance and effectiveness of its inspection program regardless of whether the program is carried out by the Certificate Holder or by another person.</li> </ol> <p><i>Sources:</i> 121.373(a); 121.135(a)(1)</p> <p><i>Interfaces:</i> 1.3.2–aw; 1.3.4–aw; 7.1.2–aw <ol style="list-style-type: none"> <li>2. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the continuing surveillance of the performance and effectiveness of its inspection program regardless of whether the program is carried out by the Certificate Holder or by another person.</li> </ol> <p><i>Sources:</i> 121.373(a); 121.135(a)(1)</p> <p><i>Interfaces:</i> 7.1.2–aw; 1.3.2–aw; 1.3.4–aw</p> </p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.5.2 The system for the continuing analysis and surveillance of the performance and effectiveness of its program covering other maintenance, preventive maintenance, and alterations, regardless of whether that program is carried out by the Certificate Holder or by another person?</p> <p>SRRs: 121.373(a)</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1.</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the continuing analysis of the performance and effectiveness of its program covering other maintenance regardless of whether the program is carried out by the Certificate Holder or by another person.

*Sources:* 121.373(a); 121.135(a)(1)

*Interfaces:* 1.3.10-aw; 2.1.1-op; 1.3.1-aw; 7.1.1-aw; 1.3.4-aw; 1.3.9-aw; 1.3.5-aw; 1.3.7-aw; 2.1.1-aw; 4.2.2-aw; 1.2.3-aw; 1.1.1-aw; 4.2.1-aw

2. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the continuing analysis of the performance and effectiveness of its preventive maintenance regardless of whether the program is carried out by the Certificate Holder or by another person.

*Sources:* 121.373(a); 121.135(a)(1)

*Interfaces:* 1.3.2-aw; 1.3.3-aw; 1.1.1-aw; 4.2.1-aw; 2.1.1-op; 1.3.1-aw; 7.1.1-aw; 1.3.7-aw; 7.1.6-aw; 1.2.3-aw; 2.1.1-aw

3. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the continuing analysis of the performance and effectiveness of its alterations regardless of whether the program is carried out by the Certificate Holder or by another person.

*Sources:* 121.373(a); 121.135(a)(1)

*Interfaces:* 1.3.6-aw; 1.3.7-aw; 1.1.1-aw; 1.2.2-aw; 2.1.1-aw; 7.1.1-aw; 1.3.1-aw; 2.1.1-op; 1.3.9-aw

4. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the continuing surveillance of the performance and effectiveness of its program covering other maintenance regardless of whether the program is carried out by the Certificate Holder or by another person.

*Sources:* 121.373(a); 121.135(a)(1)

*Interfaces:* 1.3.1-aw; 7.1.1-aw; 1.1.1-aw; 1.3.4-aw; 2.1.1-op; 1.3.7-aw; 1.3.5-aw; 4.2.2-aw; 1.3.9-aw; 4.2.1-aw; 1.3.10-aw; 2.1.1-aw; 1.2.3-aw

5. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the continuing surveillance of the performance and effectiveness of its

<p>preventive maintenance regardless of whether the program is carried out by the Certificate Holder or by another person.  <i>Sources:</i> 121.373(a); 121.135(a)(1)  <i>Interfaces:</i> 4.2.1–aw; 2.1.1–aw; 1.3.2–aw; 1.3.3–aw; 1.3.1–aw; 1.2.3–aw; 7.1.1–aw; 1.1.1–aw; 1.3.7–aw; 7.1.6–aw; 2.1.1–op</p> <p>6. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the continuing analysis of the performance and effectiveness of its alterations regardless of whether the program is carried out by the Certificate Holder or by another person.  <i>Sources:</i> 121.373(a); 121.135(a)(1)  <i>Interfaces:</i> 1.2.2–aw; 1.3.9–aw; 1.3.6–aw; 1.3.7–aw; 2.1.1–aw; 1.1.1–aw; 7.1.1–aw; 2.1.1–op; 1.3.1–aw</p>	
<p>1.5.3 The system for correction of any deficiencies in its inspection program and the program covering other maintenance, preventive maintenance, and alterations, regardless of whether those programs are carried out by the Certificate Holder or by another person?  <i>SRRs:</i> 121.373(a)  <i>Related Design JTI's:</i></p> <p>1. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the correction of any deficiency in the inspection program, regardless of whether the program is carried out by the Certificate Holder or by another person.  <i>Sources:</i> 121.373(a); 121.135(a)(1)  <i>Interfaces:</i> 2.1.1–op; 1.3.1–aw; 4.4.4–aw; 4.4.3–aw; 1.3.9–aw; 1.3.6–aw; 1.3.7–aw; 2.1.1–aw; 1.2.2–aw; 1.1.1–aw; 7.1.1–aw</p> <p>2. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the correction of any deficiency in the program covering other maintenance regardless of whether the program is carried out by the Certificate Holder or by another person.  <i>Sources:</i> 121.373(a); 121.135(a)(1)  <i>Interfaces:</i> 1.1.1–aw; 1.3.3–aw; 1.3.15–aw; 4.2.1–aw; 1.3.16–aw; 1.3.5–aw; 2.1.1–op; 1.3.1–aw; 7.1.1–aw; 1.2.2–aw; 7.1.6–aw; 1.2.3–aw; 1.3.9–aw; 1.3.17–aw; 1.3.7–aw; 1.2.1–aw; 1.3.6–aw; 2.1.1–aw</p> <p>3. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the correction of any deficiency in the program covering preventive maintenance regardless of whether the program is carried out by the Certificate Holder or by another person.  <i>Sources:</i> 121.373(a); 121.135(a)(1)  <i>Interfaces:</i> 1.2.1–aw; 7.1.1–aw; 1.3.2–aw; 1.3.1–aw; 1.3.7–aw;</p>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain</p>

<p>7.1.6–aw</p> <p>4. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the correction of any deficiency in the program covering alterations regardless of whether the program is carried out by the Certificate Holder or by another person.</p> <p><i>Sources:</i> 121.373(a); 121.135(a)(1)</p> <p><i>Interfaces:</i> 1.3.9–aw; 1.2.3–aw; 2.1.1–op; 1.2.2–aw; 7.1.6–aw; 1.3.7–aw; 1.3.2–aw; 2.1.1–aw; 7.1.1–aw</p>	
<p>1.6 Does the Certificate Holder's manual specify how the Certificate Holder will continually perform the following functions of the Continuous Analysis and Surveillance (CAS) System:</p> <p>SRRs: 121.135(a)(1); 121.373(a)</p>	
<p>1.6.1 How the Certificate Holder will continually analyze the performance and effectiveness of its inspection program?</p> <p>SRRs: 121.373(a)</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>
<p>1.6.2 How the Certificate Holder will continually conduct surveillance of the performance and effectiveness of its inspection program?</p> <p>SRRs: 121.373(a)</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the Certificate Holder's manual includes instructions and information necessary to allow personnel concerned to perform the duty and responsibility of establishing and maintaining a system for the continuing surveillance of the performance and effectiveness of its inspection program regardless of whether the program is carried out by the Certificate Holder or by another person.</p> <p><i>Sources:</i> 121.373(a); 121.135(a)(1)</p> <p><i>Interfaces:</i> 7.1.2–aw; 1.3.2–aw; 1.3.4–aw</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>
<p>1.6.3 How the Certificate Holder will continually analyze the performance and effectiveness of its program covering other maintenance, preventive maintenance, and alterations?</p> <p>SRRs: 121.373(a)</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>
<p>1.6.4 How the Certificate Holder will continually conduct surveillance of the performance and effectiveness of its program covering other maintenance, preventive maintenance, and alterations?</p> <p>SRRs: 121.373(a)</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>
<p>1.6.5 How the Certificate Holder will continually correct any deficiencies in its inspection program and the program covering other maintenance, preventive maintenance, and alterations?</p> <p>SRRs: 121.373(a)</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>
<p>1.7 Does the Certificate Holder's manual specify how the Certificate Holder will make changes to its inspection program and its program covering other maintenance, preventive maintenance, and alterations, whenever the Administrator finds that either or both of those programs do not contain adequate procedures or standards to meet the requirements of 14 CFR Part 121?</p> <p>SRRs: 121.373(b)</p> <p><i>Related Design JTI's:</i></p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>

<p>1. Check that the Certificate Holder's manual contains instructions and information necessary to allow personnel concerned to perform the duty and responsibility of changing the procedures and standards whenever the Administrator finds that either or both of the programs described in 14CFR part 121.373(a) are not adequate to meet the requirements of this part.  <i>Sources:</i> 121.373(b); 121.135(a)(1)  <i>Interfaces:</i> 7.1.2-aw; 2.1.1-aw; 1.3.2-aw; 1.3.15-aw; 1.3.1-aw; 7.1.1-aw; 2.1.1-op</p>	
<p>1.8 Does the Certificate Holder's Continuous Analysis and Surveillance (CAS) System comply with the general guidance contained in FAA Order 8300.10 Volume 2, Chapter 65, and Volume 3, Chapter 37?</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check that the Certificate Holder's continuing analysis and surveillance program contains procedures to include an organizational chart that defines the lines of authority.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65 Section 2, 5, C, (1) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 1.3.14-aw; 7.1.1-aw</li> <li>2. Check that the Certificate Holder's continuing analysis and surveillance program contains procedures that include definitions of responsibilities and duties.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65 Section 2, 5, C, (2) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 1.3.14-aw; 7.1.1-aw; 7.1.2-aw</li> <li>3. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for example forms or reports that are used.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65 Section 2, 5, C, (4) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 1.3.14-aw</li> <li>4. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a record review covering accountability for all inspection requirements.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65 Section 2, 5, C (5)  <i>Interfaces:</i> 7.1.2-aw; 1.3.14-aw; 1.3.2-aw</li> <li>5. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a record review covering routine maintenance records.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65 Section 2, 5, C (5)  <i>Interfaces:</i> 1.3.14-aw; 1.3.1-aw</li> <li>6. Check that the Certificate Holder's manual has procedures</li> </ol>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain</p>



- in the continuing analysis and surveillance program for a record review covering non-routine maintenance records.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 2, 5, C (5)  
*Interfaces:* 1.3.1-aw; 1.3.14-aw
7. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a record review covering overhaul records.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 2, 5, C (5)  
*Interfaces:* 1.3.1-aw; 7.1.1-aw; 1.3.14-aw; 7.1.2-aw
  8. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a record review covering Methods of Airworthiness Directives (AD's) compliance.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 2, 5, C (5)  
*Interfaces:* 7.1.2-aw; 1.3.6-aw; 1.3.14-aw
  9. Check that the Certificate Holder's manual has in the continuing analysis and surveillance program for a record review covering Service bulletin compliance.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 2, 5, C (5)  
*Interfaces:* 7.1.2-aw; 7.1.1-aw; 1.3.1-aw; 1.3.14-aw
  10. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a record review of approved data that was used for major repairs.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 2, 5, C (5)  
*Interfaces:* 1.3.9-aw; 1.3.14-aw
  11. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a record review of approved data that was used for alterations.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 2, 5, C (5)  
*Interfaces:* 1.3.14-aw; 1.3.9-aw
  12. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program that will ensure that the staffing, described in the manual, is available and appropriate for the complexity of the operator/applicant's operation.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 2, 5, D Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.3-aw; 1.3.14-aw
  13. Check that the Certificate Holder's manual contains procedures for administering the continuing analysis and surveillance program that are clear and easy to

understand.

*Sources:* Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)

*Interfaces:* 2.1.1–aw; 1.3.15–aw; 1.3.1–aw; 7.1.1–aw; 2.1.1–op; 7.1.2–aw; 1.3.2–aw

14. Check that the Certificate Holder's manual contains procedures that state how records are retained.  
*Sources:* Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (a)  
*Interfaces:* 1.3.14–aw; 1.3.1–aw; 7.1.1–aw; 1.3.9–aw; 1.2.2–aw; 1.2.3–aw
15. Check that the Certificate Holder's manual contains procedures for establishing qualifications of persons performing analysis.  
*Sources:* Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (b)  
*Interfaces:* 1.2.3–aw; 1.3.9–aw; 1.3.14–aw; 1.2.2–aw; 7.1.1–aw; 1.3.1–aw
16. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system that address operational matters, such as maintenance scheduling.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5,C; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14–aw; 1.3.5–aw; 7.1.1–aw; 7.1.6–aw
17. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system that addresses control and accountability of work forms.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Sec. 1, 5,C Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14–aw; 7.1.1–aw; 7.1.2–aw
18. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system that address conformity to technical instruction.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Sec. 1, 5,C Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.2–aw; 1.3.14–aw; 7.1.1–aw; 1.3.2–aw; 1.3.1–aw
19. Check that the Certificate Holder's manual has instructions that the procedural requirements of the continuing analysis and surveillance system are to be followed.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 1, 5,C; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.1–aw; 4.2.1–aw; 1.3.6–aw; 1.3.16–aw; 1.3.14–aw

20. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system for examining the adequacy of maintenance equipment.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Sec. 1, 5,C Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.3-aw; 1.3.14-aw; 7.1.1-aw; 5.1.1-aw; 1.3.7-aw
21. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system for examining the adequacy of maintenance facilities and shop orderliness.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5,C; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.7-aw; 1.3.14-aw; 7.1.1-aw; 1.3.3-aw; 5.1.1-aw
22. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system for examining the adequacy of parts protection and inventory.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5,C; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 5.1.1-aw; 1.3.10-aw; 1.3.21-aw; 1.3.3-aw; 1.3.7-aw; 1.3.22-aw; 1.3.14-aw
23. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system for examining the adequacy of mechanic competency.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5,C; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14-aw; 4.2.1-aw; 4.1.2-aw; 4.2.2-aw; 4.1.1-aw; 7.1.1-aw; 4.4.1-aw; 4.4.4-aw
24. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance programs that are separate from other maintenance functions for maximum effectiveness.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 7, A; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14-aw; 7.1.1-aw; 1.3.1-aw; 7.1.2-aw
25. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program that personnel with CAS responsibilities, and assigned to another organizational unit which has other duties, should perform CAS duties independently of the other duties.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 7, A; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.2-aw; 7.1.1-aw; 1.3.14-aw; 1.3.1-aw

26. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system for charting or other appropriate methods for recording and accounting of pertinent data at specified intervals.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 7, B; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.1–aw; 7.1.2–aw; 1.3.20–aw; 1.3.15–aw; 1.3.14–aw
27. Check that the Certificate Holder's manual has procedures that ensure that when a maintenance contract agency is used to provide the operator with essential information (such as failure characteristics, service times, etc.), that information is transmitted back to the operator for use in it's CAS program.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 7, C  
*Interfaces:* 1.3.15–aw; 1.3.14–aw; 1.3.20–aw; 7.1.1–aw; 1.3.2–aw; 1.3.1–aw; 1.3.7–aw
28. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program that data for a smaller fleet is reviewed individually when aircraft fleets are grouped together for the purposes of data collection.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 7, D; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.7–aw; 1.3.15–aw; 1.3.14–aw; 7.1.1–aw; 1.3.20–aw
29. Check that the Certificate Holder's manual has procedures that ensure that when a contractor is used for total maintenance support, the requirement for CAS remains the responsibility of the operator.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 7, E; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 5.1.1–aw; 1.3.1–aw; 1.3.10–aw; 1.3.8–aw; 1.3.9–aw; 1.3.2–aw; 1.3.7–aw; 1.3.3–aw; 1.3.15–aw
30. Check that the Certificate Holder's manual has procedures that ensure that there are enough personnel and resources to accomplish both the audit and performance analysis functions of the continuing analysis and surveillance program.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 7, E; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.2–aw; 1.3.15–aw; 1.3.14–aw
31. Check that the Certificate Holder's manual has procedures that ensure that if the continuing analysis and surveillance data collection program uses a manufacturer as a

<p>collection and analysis center, the Administrator is contacted for it's approval.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 1, 7, G; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 1.3.7–aw; 1.3.15–aw; 1.3.14–aw; 1.3.20–aw; 7.1.2–aw</p> <p>32. Check that the Certificate Holder's manual has procedures that ensure that if the continuing analysis and surveillance data collection program uses a manufacturer as a collection and analysis center, the operator is still responsible for the development and implementation of corrective actions and the overall effectiveness of the program.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 1, 7, G; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 1.3.7–aw; 1.3.15–aw; 1.3.20–aw; 1.3.14–aw; 7.1.1–aw</p>	
<p>1.9 Does the auditing function of the Certificate Holder's Continuous Analysis and Surveillance (CAS) System comply with the guidance contained in FAA Order 8300.10 Volume 2, Chapter 65, and Volume 3, Chapter 37?</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system for auditing aircraft inspections.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 7.1.2–aw; 1.3.4–aw; 1.3.2–aw; 1.3.14–aw</li> <li>2. Check that the Certificate Holder's manual has in the continuing analysis and surveillance program for auditing scheduled maintenance.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 1.3.14–aw; 1.3.3–aw; 7.1.2–aw; 1.3.1–aw</li> <li>3. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing unscheduled maintenance.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 1.3.14–aw; 1.3.3–aw; 1.3.1–aw; 7.1.2–aw</li> <li>4. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing unscheduled maintenance.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section</li> </ol>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain</p>

- 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14-aw; 1.3.1-aw; 7.1.2-aw; 1.3.3-aw
5. Check that the Certificate Holder's manual has in the continuing analysis and surveillance program for auditing aircraft, engine, prop and appliance repairs and overhauls.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.7-aw; 1.3.3-aw; 7.1.2-aw; 1.3.14-aw; 1.3.1-aw
6. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing maintenance manuals.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14-aw; 2.1.1-aw; 1.3.1-aw; 2.1.2-aw; 2.1.4-aw; 7.1.1-aw; 2.1.5-aw; 2.1.3-aw; 2.1.2-op; 2.1.1-op; 2.1.3-op; 2.1.4-op; 2.1.5-op
7. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing Mechanical Reliability Reports (MRR's).  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14-aw; 1.2.5-aw; 7.1.1-aw
8. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing and analyzing Mechanical Interruption Summary Reports (MISR's).  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14-aw; 7.1.1-aw; 1.2.5-aw
9. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing and analyzing vendor facilities and capabilities.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.7-aw; 1.3.14-aw; 7.1.1-aw
10. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing and analyzing the maintenance organization staffing.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section

- 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.1–aw; 1.3.14–aw; 5.1.1–aw; 1.3.3–aw; 1.3.7–aw
11. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing and analyzing Required Inspection Item Program (RII's).  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 4.1.2–aw; 1.3.14–aw; 1.3.4–aw; 7.1.1–aw; 4.1.1–aw
  12. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" for follow-up of components removed.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.10–aw; 1.3.1–aw; 1.3.15–aw; 7.1.1–aw
  13. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function". for tear-down reports (including those from vendor's) for removed components.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.15–aw; 7.1.1–aw; 1.3.1–aw; 1.3.10–aw
  14. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" for examining the administrative and supervisory aspects of the operator's program.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14–aw; 7.1.1–aw; 1.3.24–aw; 7.1.2–aw
  15. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" for examining the administrative and supervisory aspects of the operator's program for work done outside of the operator's basic organization.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5, B(1)(a); Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.7–aw; 1.3.24–aw; 7.1.2–aw; 1.3.14–aw; 7.1.1–aw
  16. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Main Base

operates in accordance with company procedures, which includes ensuring that all publications and work forms are current and readily available to the user.

*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5,; B(1)(a); Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)

*Interfaces:* 2.1.3–op; 1.3.1–aw; 1.3.3–aw; 2.1.1–op; 1.3.2–aw; 2.1.4–op; 2.1.3–aw; 2.1.4–aw; 2.1.1–aw; 1.3.14–aw; 1.2.1–aw

17. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Main Base operates in accordance with company procedures, which includes ensuring that major repairs/alterations are classified properly and accomplished with approved data.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14–aw; 1.3.1–aw; 1.2.2–aw; 7.1.1–aw; 1.2.3–aw; 1.3.9–aw
18. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Main Base operates in accordance with company procedures, which includes ensuring that carryover items and deferred maintenance are properly handled.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.6–aw; 1.2.1–aw; 1.3.1–aw; 7.1.1–aw; 1.3.14–aw; 1.1.1–aw; 1.3.5–aw
19. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Main Base operates in accordance with company procedures, which includes ensuring that vendors are properly authorized, qualified, staffed, and equipped to do the contractor function according to the operator's manual.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.1–aw; 4.1.1–aw; 1.3.7–aw; 4.2.2–aw; 1.3.14–aw; 4.2.1–aw; 4.1.2–aw
20. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Sub Base operates in accordance with company procedures, which includes ensuring that all publications and work forms are current and readily available to the user.  
*Sources:* Order 8300.10 Volume 2, Chapter 65,



- Section 1,5, B(1)(a) Order 8300.10 Volume 3, Chapter 37,  
Section 2, Paragraph 5, C, (2)  
*Interfaces:* 2.1.4–op; 1.3.2–aw; 1.3.3–aw; 1.3.14–aw;  
2.1.3–op; 2.1.1–op; 1.3.1–aw; 2.1.1–aw; 2.1.3–aw;  
2.1.4–aw; 1.2.1–aw
21. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Sub Base operates in accordance with company procedures, which includes ensuring that major repairs/alterations are classified properly and accomplished with approved data.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1,5,; B(1)(a); Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14–aw; 1.2.3–aw; 1.2.2–aw; 1.3.1–aw; 1.3.9–aw; 7.1.1–aw
  22. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Sub Base operates in accordance with company procedures, which includes ensuring that carryover items and deferred maintenance are properly handled.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1,5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.6–aw; 1.2.1–aw; 1.1.1–aw; 1.3.14–aw; 1.3.1–aw; 1.3.5–aw; 7.1.1–aw
  23. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Sub Base operates in accordance with company procedures, which includes ensuring that vendors are properly authorized, qualified, staffed, and equipped to do the contractor function according to the operator's manual.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1,5,; B(1)(a); Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 4.1.1–aw; 1.3.1–aw; 4.1.2–aw; 1.3.7–aw; 4.2.2–aw; 1.3.14–aw; 4.2.1–aw
  24. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Line Station operates in accordance with company procedures, which includes ensuring that all publications and work forms are current and readily available to the user.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1,5,; B(1)(a); Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 2.1.1–aw; 1.3.14–aw; 1.3.2–aw; 1.3.3–aw; 1.2.1–aw; 2.1.3–aw; 2.1.4–aw; 1.3.1–aw; 2.1.1–op;

- 2.1.4–op; 2.1.3–op
25. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Line Station operates in accordance with company procedures, which includes ensuring that major repairs/alterations are classified properly and accomplished with approved data.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1.5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.2.2–aw; 1.2.3–aw; 1.3.9–aw; 1.3.14–aw; 7.1.1–aw; 1.3.1–aw
  26. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Line Station operates in accordance with company procedures, which includes ensuring that carryover items and deferred maintenance are properly handled.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1.5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.6–aw; 1.3.5–aw; 1.3.14–aw; 1.3.1–aw; 1.2.1–aw; 7.1.1–aw; 1.1.1–aw
  27. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the Line Station operates in accordance with company procedures, which includes ensuring that vendors are properly authorized, qualified, staffed, and equipped to do the contractor function according to the operator's manual.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1.5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 4.1.2–aw; 4.2.1–aw; 4.2.2–aw; 1.3.1–aw; 4.1.1–aw; 1.3.7–aw; 1.3.14–aw
  28. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the shops operate in accordance with company procedures, which include ensuring that all publications and work forms are current and readily available to the user.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1.5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 2.1.1–aw; 1.2.1–aw; 2.1.4–aw; 1.3.14–aw; 2.1.3–aw; 1.3.1–aw; 1.3.2–aw; 1.3.3–aw; 2.1.1–op; 2.1.3–op; 2.1.4–op
  29. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the shops

- operate in accordance with company procedures, which include ensuring that all major repairs/alterations are classified properly and accomplished with approved data.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.9–aw; 1.2.2–aw; 1.2.3–aw; 1.3.14–aw; 1.3.1–aw; 7.1.1–aw
30. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the shops operate in accordance with company procedures, which include ensuring that carryover items and deferred maintenance are properly handled.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.1–aw; 1.3.1–aw; 1.3.5–aw; 1.2.1–aw; 7.1.6–aw; 1.1.1–aw; 1.3.14–aw
31. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "audit function" that ensure that the shops operate in accordance with company procedures, which include ensuring that vendors are properly authorized, qualified, staffed, and equipped to do the contractor function according to the operator's manual.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5, B(1)(a) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 4.2.1–aw; 4.1.2–aw; 1.3.14–aw; 4.1.1–aw; 4.2.2–aw; 1.3.1–aw; 1.3.7–aw
32. Check that the Certificate Holder's manual contains procedures that provide for a continuous audit of the total maintenance program.  
*Sources:* Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (a)  
*Interfaces:* 1.2.2–aw; 1.3.9–aw; 1.3.14–aw; 1.2.3–aw; 1.3.1–aw; 7.1.1–aw
33. Check that the Certificate Holder's manual contains procedures that provide for a continuous audit of contract agencies.  
*Sources:* Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (a)  
*Interfaces:* 1.3.9–aw; 1.2.2–aw; 1.2.3–aw; 7.1.1–aw; 1.3.14–aw; 1.3.1–aw
34. Check that the Certificate Holder's manual contains procedures that state who is responsible for performing audits (normally, an independent agency that is assigned to the quality assurance/inspection department).  
*Sources:* Order 8300.10 Vol. 3, Chapter 37, Section 2,

	<p>Paragraph 5. C (6) (a)  <i>Interfaces:</i> 7.1.1–aw; 1.3.1–aw; 1.2.2–aw; 1.2.3–aw;  1.3.9–aw; 1.3.14–aw</p> <p>35. Check that the Certificate Holder's manual contains procedures that state what is being audited (e.g. manuals, maintenance, record entries, Required Inspection Items (RII), training, airworthiness releases, deferred maintenance, vendors, etc.)  <i>Sources:</i> Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (a)  <i>Interfaces:</i> 1.2.3–aw; 7.1.1–aw; 1.2.2–aw; 1.3.14–aw; 1.3.1–aw; 1.3.9–aw</p> <p>36. Check that the Certificate Holder's manual contains procedures that state when the audits are performed.  <i>Sources:</i> Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (a)  <i>Interfaces:</i> 1.2.3–aw; 1.3.9–aw; 1.2.2–aw; 1.3.14–aw; 1.3.1–aw; 7.1.1–aw</p> <p>37. Check that the Certificate Holder's manual contains procedures that state how the audits are documented.  <i>Sources:</i> Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (a)  <i>Interfaces:</i> 1.3.1–aw; 7.1.1–aw; 1.3.9–aw; 1.3.14–aw; 1.2.2–aw; 1.2.3–aw</p> <p>38. Check that the Certificate Holder's manual contains procedures for recording audit findings and subsequent actions.  <i>Sources:</i> Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (b)  <i>Interfaces:</i> 1.3.1–aw; 7.1.1–aw; 1.2.2–aw; 1.2.3–aw; 1.3.14–aw; 1.3.9–aw</p> <p>39. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a continuous internal audit and analysis system that evaluates the organization's performance.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65 Section 2, 5, A. Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 7.1.2–aw; 1.3.3–aw; 5.1.1–aw; 1.3.14–aw</p> <p>40. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a continuous internal audit and analysis system that will identify the performance deficiencies.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65 Section 2, 5, A. Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 1.3.3–aw; 7.1.2–aw; 1.3.14–aw; 5.1.1–aw</p>	
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<p>1.10 Does the performance analysis / mechanical performance monitoring function of the Certificate Holder's Continuous Analysis and Surveillance (CAS) System comply with the guidance contained in FAA Order 8300.10 Volume 2, Chapter 65, and Volume 3, Chapter 37?</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>1. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system for analyzing aircraft inspections. <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2) <i>Interfaces:</i> 1.3.4-aw; 7.1.2-aw; 1.3.2-aw; 1.3.14-aw</li> <li>2. Check that the Certificate Holder's manual has in the continuing analysis and surveillance program for analyzing scheduled maintenance. <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2) <i>Interfaces:</i> 1.3.1-aw; 1.3.14-aw; 1.3.3-aw; 7.1.2-aw</li> <li>3. Check that the Certificate Holder's manual has in the continuing analysis and surveillance program for analyzing, aircraft, engine, prop and appliance repairs and overhauls. <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2) <i>Interfaces:</i> 1.3.1-aw; 7.1.2-aw; 1.3.3-aw; 1.3.7-aw; 1.3.14-aw</li> <li>4. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program analyzing maintenance manuals. <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2) <i>Interfaces:</i> 2.1.1-op; 2.1.2-op; 1.3.1-aw; 2.1.4-op; 2.1.3-op; 2.1.5-op; 1.3.14-aw; 7.1.1-aw; 2.1.1-aw; 2.1.5-aw; 2.1.3-aw; 2.1.2-aw; 2.1.4-aw</li> <li>5. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for analyzing Mechanical Reliability Reports (MRR's). <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2) <i>Interfaces:</i> 7.1.1-aw; 1.2.5-aw; 1.3.14-aw</li> <li>6. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing and analyzing Mechanical Interruption Summary Reports (MISR's). <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2) <i>Interfaces:</i> 1.3.14-aw; 7.1.1-aw; 1.2.5-aw</li> <li>7. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing and analyzing vendor facilities and capabilities. <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2) <i>Interfaces:</i> 1.3.7-aw; 1.3.14-aw; 7.1.1-aw</li> </ol>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>
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8. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing and analyzing the maintenance organization staffing.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.1-aw; 1.3.14-aw; 5.1.1-aw; 1.3.3-aw; 1.3.7-aw
9. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for auditing and analyzing Required Inspection Item Program (RII's).  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 2, 5, B.; Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 4.1.2-aw; 1.3.14-aw; 1.3.4-aw; 7.1.1-aw; 4.1.1-aw
10. Check that the Certificate Holder's manual contains procedures to analyze each audit to identify deficiencies.  
*Sources:* Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (b)  
*Interfaces:* 1.3.14-aw; 1.2.3-aw; 1.2.2-aw; 1.3.1-aw; 7.1.1-aw; 1.3.9-aw
11. Check that the Certificate Holder's manual contains procedures to provide for further analysis to determine system breakdown.  
*Sources:* Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (b)  
*Interfaces:* 1.3.14-aw; 1.3.1-aw; 1.3.9-aw; 7.1.1-aw; 1.2.2-aw; 1.2.3-aw
12. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "performance analysis function for daily monitoring related to the performance of affected aircraft systems, including aircraft engines and components.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 1, 5, B (1)(b) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.2-aw; 1.3.14-aw; 1.3.2-aw; 7.1.1-aw; 1.2.4-aw; 1.2.5-aw; 1.3.1-aw
13. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "performance analysis function" for monitoring daily mechanical problems for affected aircraft.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 1, 5, B (1)(b) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.2.4-aw; 1.2.5-aw; 7.1.1-aw; 1.3.14-aw; 1.3.2-aw; 1.3.1-aw; 7.1.2-aw
14. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "performance analysis function" for daily monitoring deferred maintenance items including excessive number and times.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 1, 5, B (1)(b) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.2-aw; 1.3.2-aw; 1.3.14-aw; 1.3.1-aw; 7.1.1-aw; 1.2.4-aw; 1.2.5-aw
15. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "performance analysis function for long-term monitoring related to the performance of affected

- aircraft systems, including aircraft engines and components.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 1, 5, B (1)(b)  
 Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.2.4–aw; 1.2.5–aw; 1.3.14–aw; 1.3.1–aw; 7.1.1–aw;  
 7.1.2–aw; 1.3.2–aw
16. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "performance analysis function" for long-term monitoring of pilot reports compiled by Air Transport Association (ATA) code.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 1, 5, B (1)(b)  
 Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.2.4–aw; 1.2.5–aw; 7.1.2–aw; 1.3.14–aw; 1.3.2–aw;  
 1.3.1–aw; 7.1.1–aw
17. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "performance analysis function" for long-term monitoring of Mechanical Interruption Summary Reports (MIS).  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 1, 5, B (1)(b)  
 Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.1–aw; 7.1.1–aw; 7.1.2–aw; 1.3.2–aw; 1.3.14–aw;  
 1.2.5–aw; 1.2.4–aw
18. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "performance analysis function" for long-term monitoring of any high number of unscheduled component removals.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 1, 5, B (1)(b)  
 Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.2.4–aw; 1.2.5–aw; 1.3.14–aw; 7.1.1–aw; 7.1.2–aw;  
 1.3.1–aw; 1.3.2–aw
19. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "performance analysis function" for emergency response related to the performance of affected aircraft systems, including aircraft engines and components.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 1, 5, B (1)(b)  
 Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 5.1.1–aw; 7.1.3–op; 7.1.6–aw; 1.3.7–aw; 7.1.1–aw;  
 7.1.3–aw; 7.1.2–aw; 1.3.14–aw
20. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance system "performance analysis function" for emergency response related to monitoring contained engine failures.  
*Sources:* Order 8300.10 Volume 2, Chapter 65 Section 1, 5, B (1)(b)  
 Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.3–op; 1.2.5–aw; 1.3.14–aw; 7.1.1–aw; 7.1.2–aw;  
 7.1.3–aw; 7.1.6–aw
21. Check that the Certificate Holder's manual includes procedures for responding to critical and/or emergency safety-related situations and those situations are defined.  
*Sources:* 8300.10 Vol. 3 Chapter 37 Section 2, Paragraph 5, C (3) (a)  
*Interfaces:* 1.3.9–aw; 1.2.3–aw; 1.2.2–aw; 1.3.14–aw; 1.3.1–aw;

- 7.1.1-aw
22. Check that the Certificate Holder's manual includes procedures for responding to critical and/or emergency safety-related situations and the notification/ coordination process.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
(a)  
*Interfaces:* 1.3.14-aw; 1.3.1-aw; 1.2.2-aw; 1.2.3-aw; 7.1.1-aw; 1.3.9-aw
23. Check that the Certificate Holder's manual includes procedures for responding to critical and/or emergency safety-related situations and determining if similar situations exist on other aircraft.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
(a)  
*Interfaces:* 1.2.2-aw; 1.2.3-aw; 1.3.9-aw; 1.3.14-aw; 7.1.1-aw; 1.3.1-aw
24. Check that the Certificate Holder's manual includes procedures for responding to critical and/or emergency safety-related situations and implementation of corrective action.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
(a)  
*Interfaces:* 1.3.1-aw; 1.3.9-aw; 1.2.3-aw; 1.2.2-aw; 7.1.1-aw; 1.3.14-aw
25. Check that the Certificate Holder's manual includes procedures for responding to critical and/or emergency safety-related situations and how the FAA is notified.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
(a)  
*Interfaces:* 1.3.14-aw; 1.3.1-aw; 1.2.3-aw; 7.1.1-aw; 1.2.2-aw; 1.3.9-aw
26. Check that the Certificate Holder's manual contains procedures for day-to-day monitoring and conducting periodic meetings with required personnel to discuss mechanical performance and identify the need for corrective action.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
(b)  
*Interfaces:* 1.3.9-aw; 1.2.2-aw; 1.2.3-aw; 1.3.14-aw; 1.3.1-aw; 7.1.1-aw
27. Check that the Certificate Holder's manual includes procedures for what items are discussed.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
(b)  
*Interfaces:* 1.3.1-aw; 7.1.1-aw; 1.3.9-aw; 1.3.14-aw; 1.2.3-aw; 1.2.2-aw
28. Check that the Certificate Holder's manual includes procedures for when meetings are conducted.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
(b)  
*Interfaces:* 1.2.2-aw; 1.2.3-aw; 1.3.9-aw; 1.3.14-aw; 1.3.1-aw; 7.1.1-aw
- 29.



- Check that the Certificate Holder's manual includes procedures for who attends the meetings.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
 (b)  
*Interfaces:* 1.3.1–aw; 1.3.9–aw; 1.3.14–aw; 1.2.2–aw; 7.1.1–aw; 1.2.3–aw
30. Check that the Certificate Holder's manual includes procedures for how the records of these meetings are forwarded to the FAA.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
 (b)  
*Interfaces:* 1.3.14–aw; 1.2.2–aw; 1.2.3–aw; 7.1.1–aw; 1.3.1–aw; 1.3.9–aw
31. Check that the Certificate Holder's manual contains procedures for the data collection for the long-term monitoring of the mechanical performance function of the program.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
 (c)  
*Interfaces:* 1.3.9–aw; 1.2.2–aw; 1.2.3–aw; 1.3.14–aw; 1.3.1–aw; 7.1.1–aw
32. Check that the Certificate Holder's manual contains procedures for the data collection for the long-term monitoring of the mechanical performance function including what operational data is used.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
 (c)  
*Interfaces:* 1.3.14–aw; 1.3.1–aw; 7.1.1–aw; 1.2.3–aw; 1.3.9–aw; 1.2.2–aw
33. Check that the Certificate Holder's manual contains procedures for the data collection for the long-term monitoring of the mechanical performance function including what forms are used to collect the data.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
 (c)  
*Interfaces:* 1.3.9–aw; 1.3.14–aw; 1.2.3–aw; 1.3.1–aw; 1.2.2–aw; 7.1.1–aw
34. Check that the Certificate Holder's manual contains procedures for the data collection for the long-term monitoring of the mechanical performance function including who is responsible for compiling the data.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
 (c)  
*Interfaces:* 1.3.14–aw; 1.2.3–aw; 1.2.2–aw; 1.3.1–aw; 7.1.1–aw; 1.3.9–aw
35. Check that the Certificate Holder's manual contains procedures for the data collection for the long-term monitoring of the mechanical performance function including when and how often the data is collected.  
*Sources:* 8300.10 Volume 3 Chapter 37 Section 2, Paragraph 5, C (3)  
 (c)  
*Interfaces:* 1.3.14–aw; 7.1.1–aw; 1.3.1–aw; 1.3.9–aw; 1.2.2–aw; 1.2.3–aw
- 36.

- Check that the Certificate Holder's manual contains procedures for the long-term monitoring data analysis of operational data, which include when the analysis is to be performed.  
*Sources:* 8300.10 Volume 2 Chapter 37 Section 2, Paragraph 5, C (3)(d)  
*Interfaces:* 1.2.2-aw; 1.3.9-aw; 1.3.14-aw; 1.2.3-aw; 1.3.1-aw; 7.1.1-aw
37. Check that the Certificate Holder's manual contains procedures for the long-term monitoring data analysis of operational data, which include who is responsible for the performing the initial analysis.  
*Sources:* 8300.10 Volume 2 Chapter 37 Section 2, Paragraph 5, C (3)(d)  
*Interfaces:* 1.3.9-aw; 1.3.1-aw; 1.2.2-aw; 1.2.3-aw; 7.1.1-aw; 1.3.14-aw
38. Check that the Certificate Holder's manual contains procedures for the long-term monitoring data analysis of operational data, which include what conditions, based on performance standards, warrants corrective action.  
*Sources:* 8300.10 Volume 2 Chapter 37 Section 2, Paragraph 5, C (3)(d)  
*Interfaces:* 7.1.1-aw; 1.3.1-aw; 1.2.2-aw; 1.3.9-aw; 1.2.3-aw; 1.3.14-aw
39. Check that the Certificate Holder's manual contains procedures for the long-term monitoring data analysis of operational data, which include who is responsible for performing further analysis and making corrective action recommendations.  
*Sources:* 8300.10 Volume 2 Chapter 37 Section 2, Paragraph 5, C (3)(d)  
*Interfaces:* 1.2.3-aw; 1.3.14-aw; 7.1.1-aw; 1.2.2-aw; 1.3.1-aw; 1.3.9-aw
40. Check that the Certificate Holder's manual contains procedures for the long-term monitoring data analysis of operational data, which include who is responsible for performing further analysis and making corrective action recommendations.  
*Sources:* 8300.10 Volume 2 Chapter 37 Section 2, Paragraph 5, C (3)(d)  
*Interfaces:* 1.2.3-aw; 1.3.14-aw; 7.1.1-aw; 1.2.2-aw; 1.3.1-aw; 1.3.9-aw
41. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a system of data collection and analysis.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 1, 5,B,(2); Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.2.3-aw; 1.3.9-aw; 1.2.5-aw; 1.2.2-aw; 1.2.4-aw; 1.2.1-aw; 1.3.20-aw; 1.3.2-aw; 1.3.15-aw; 4.2.1-aw; 1.3.23-aw; 1.3.5-aw; 1.3.1-aw
42. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program that data collection may or may not be part of an approved reliability program.  
*Sources:* Order 8300.10 Volume 2, Chapter 65, Section 5,B (2); Order;

<p>Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 1.3.1–aw; 1.3.2–aw; 1.3.20–aw; 1.3.9–aw; 1.3.5–aw;  1.2.1–aw; 1.3.23–aw; 1.2.4–aw; 1.2.5–aw; 4.2.1–aw; 1.3.15–aw;  1.2.2–aw; 1.2.3–aw</p> <p>43. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a continuous internal audit and analysis system that evaluates the organization's performance.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65 Section 2, 5, A. Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 7.1.2–aw; 1.3.3–aw; 5.1.1–aw; 1.3.14–aw</p> <p>44. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a continuous internal audit and analysis system that will identify the performance deficiencies.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65 Section 2, 5, A. Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 1.3.3–aw; 7.1.2–aw; 1.3.14–aw; 5.1.1–aw</p>	
<p>1.11 Does the Certificate Holder's system for the correction of any deficiency in the inspection program or the program covering other maintenance, preventive maintenance, or alterations comply with the guidance contained in FAA Order 8300.10 Volume 2, Chapter 65?</p> <p><i>Related Design JTI's:</i></p> <ol style="list-style-type: none"> <li>Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a continuous internal audit and analysis system that determines the effectiveness of corrective actions.  <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65 Section 2, 5, A. Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  <i>Interfaces:</i> 5.1.1–aw; 1.3.3–aw; 1.3.14–aw; 7.1.2–aw</li> <li>Check that the Certificate Holder's manual has procedures for taking corrective action based on the data analysis which describe who has responsibility for implementing corrective action.  <i>Sources:</i> 8300.10 Volume 3, Chapter 37, Section 5, Paragraph C (5)  <i>Interfaces:</i> 1.3.14–aw; 7.1.2–aw; 1.3.2–aw; 1.3.4–aw</li> <li>Check that the Certificate Holder's manual has procedures for taking corrective action based on the data analysis that describes when the corrective action will be implemented.  <i>Sources:</i> 8300.10 Volume 3, Chapter 37, Section 5, Paragraph C (5)  <i>Interfaces:</i> 1.3.14–aw; 1.3.2–aw; 1.3.4–aw; 7.1.2–aw</li> <li>Check that the Certificate Holder's manual has procedures for taking corrective action based on the data analysis that describes how the corrective action will be phased into the maintenance program.  <i>Sources:</i> 8300.10 Volume 3, Chapter 37, Section 5, Paragraph C (5)  <i>Interfaces:</i> 1.3.14–aw; 1.3.2–aw; 1.3.4–aw; 7.1.2–aw</li> <li>Check that the Certificate Holder's manual contains audit functions that include procedures for timely implementation of corrective action from the data analysis.  <i>Sources:</i> 8300.10 Volume 3, Chapter 37, Section 2. Paragraph 5, C</li> </ol>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain</p>

<p>(6)(c) <i>Interfaces:</i> 7.1.2–aw; 4.1.2–aw; 1.3.4–aw; 4.1.1–aw; 1.3.14–aw</p> <p>6. Check that the Certificate Holder's manual contains audit functions that include procedures for follow–up to determine effectiveness of the corrective action. <i>Sources:</i> 8300.10 Volume 3, Chapter 37, Section 2. Paragraph 5, C (6)(c) <i>Interfaces:</i> 1.3.4–aw; 7.1.2–aw; 4.1.1–aw; 4.1.2–aw; 1.3.14–aw</p> <p>7. Check that the Certificate Holder's manual contains procedures to initiating corrective action for each deficiency identified in an audit. <i>Sources:</i> Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (b) <i>Interfaces:</i> 1.3.1–aw; 7.1.1–aw; 1.2.2–aw; 1.2.3–aw; 1.3.9–aw; 1.3.14–aw</p> <p>8. Check that the Certificate Holder's manual contains procedures providing for on–the–spot corrective action of deficiencies identified during an audit, if appropriate. <i>Sources:</i> Order 8300.10 Vol. 3, Chapter 37, Section 2, Paragraph 5. C (6) (b) <i>Interfaces:</i> 1.2.3–aw; 1.3.9–aw; 1.2.2–aw; 7.1.1–aw; 1.3.14–aw; 1.3.1–aw</p> <p>9. Check that the Certificate Holder's manual has procedures in the continuing analysis and surveillance program for a continuous internal audit and analysis system that determines and implements corrective actions. <i>Sources:</i> Order 8300.10 Volume 2, Chapter 65 Section 2, 5, A. Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2) <i>Interfaces:</i> 1.3.14–aw; 7.1.2–aw; 5.1.1–aw; 1.3.3–aw</p>	
<p>1.12 Does the Certificate Holder's Continuous Analysis and Surveillance (CAS) System comply with the guidance contained in FAA Flight Standards Handbook Bulletin HBAW 96–05C for conducting audits on substantial maintenance providers?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>
<p>1.13 Does the Certificate Holder's Continuous Analysis and Surveillance (CAS) System comply with the guidance contained in FAA Advisory Circular 120–16C?</p> <p><i>Related Design JTI's:</i></p> <p>1. Check that the Certificate Holder's manual has procedures that ensure that a quality control or internal audit function, provides for timely corrective action on the degree and frequency of adjustment and calibration of equipment used by it or another person. <i>Sources:</i> AC 120–16C 9.a.(2) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2) <i>Interfaces:</i> 7.1.1–aw; 1.3.14–aw; 7.1.2–aw; 1.3.8–aw</p> <p>2. Check that the Certificate Holder's manual has procedures that ensure that a quality control or internal audit function, provides a continuous audit of the total maintenance system to assure maintenance is, in fact, preformed in accordance with the methods specified in the operator's manuals.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain</p>

- Sources:* AC 120–16C 9.b(2) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.1–aw; 7.1.1–aw; 7.1.2–aw; 1.3.2–aw; 1.3.14–aw
3. Check that the Certificate Holder's manual has procedures that ensure that a quality control or internal audit function, provides a continuous audit of the total maintenance system to assure maintenance is, in fact, preformed in accordance with the standards specified in the operator's manuals.  
*Sources:* AC 120–16C 9.b(2) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14–aw; 1.3.2–aw; 7.1.1–aw; 7.1.2–aw; 1.3.1–aw
  4. Check that the Certificate Holder's manual has procedures that ensure that a quality control or internal audit function, provides a continuous audit of the total maintenance system to assure maintenance is, in fact, preformed in accordance with the techniques specified in the operator's manuals.  
*Sources:* AC 120–16C 9.b(2) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.2–aw; 1.3.2–aw; 1.3.1–aw; 7.1.1–aw; 1.3.14–aw
  5. Check that the Certificate Holder's manual has procedures that ensure that a quality control or internal audit function, provides a continuous audit of the total maintenance system to assure maintenance forms are screened for completeness.  
*Sources:* AC 120–16C 9.b(3) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14–aw; 7.1.1–aw; 1.3.1–aw; 7.1.2–aw; 1.3.2–aw
  6. Check that the Certificate Holder's manual has procedures that ensure that a quality control or internal audit function, provides a continuous audit of the total maintenance system to assure maintenance forms are screened for proper entries.  
*Sources:* AC 120–16C 9.b(3) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 7.1.1–aw; 7.1.2–aw; 1.2.3–aw; 1.3.14–aw; 1.2.1–aw
  7. Check that the Certificate Holder's manual has procedures that ensure that a quality control or internal audit function, provides a continuous audit of the total maintenance system to assure maintenance forms are screened for RII identification.  
*Sources:* AC 120–16C 9.b(3) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)  
*Interfaces:* 1.3.14–aw; 4.2.2–aw; 7.1.2–aw; 1.3.1–aw; 1.3.2–aw; 1.3.4–aw; 4.1.1–aw
  - 8.

Check that the Certificate Holder's manual has procedures that ensure that a quality control or internal audit function, provides a continuous audit of the total maintenance system to assure records pertaining to tracked components are cross-referenced to stock issue records, etc., to minimize errors.

*Sources:* AC 120–16C 9.b(4) Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)

*Interfaces:* 1.3.10–aw; 1.3.14–aw; 1.3.1–aw; 1.3.21–aw; 1.3.22–aw; 7.1.1–aw; 7.1.2–aw

9. Check that the Certificate Holder's manual has procedures that ensure that a quality control or internal audit function provides a continuous audit of the total maintenance system to assure indications of inadequate training.

*Sources:* AC 120–16C 9.b(5); Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)

*Interfaces:* 4.2.2–aw; 4.2.1–aw; 1.3.14–aw

10. Check that the Certificate Holder's manual has procedures that ensure that a quality control or internal audit function provides a continuous audit of the total maintenance system to assure airworthiness releases are executed by designated persons.

*Sources:* AC 120–16C 9.b(6); Order 8300.10 Volume 3, Chapter 37, Section 2, Paragraph 5, C, (2)

*Interfaces:* 1.3.14–aw; 4.2.2–aw; 4.2.1–aw

<b>SAI SECTION 1 – PROCEDURES ATTRIBUTE</b> <b>–Drop Down Menu</b>	
1. No procedures, policy, instructions or information specified.	
2. Procedures or instructions and information do not identify (who, what, when, where, how).	
3. Procedures, policy or instructions and information do not comply with CFR.	
4. Procedures, policy or instructions and information do not comply with FAA policy and guidance.	
5. Procedures, policy or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen's Charts, etc.).	
6. Procedures, policy or instructions and information unclear or incomplete.	
7. Documentation quality (e.g., unreadable or illegible).	
8. Procedures, policy or instructions and information inconsistent across Certificate Holder manuals (FOM – Flight Operations Manual to GMM – General Maintenance Manual, etc.).	
9. Procedures, policy or instructions and information inconsistent across media (e.g., paper, microfiche, electronic).	
10. Resource requirements incomplete (personnel, facilities, equipment, technical data).	
11. Other.	

**SAI SECTION 2 – CONTROLS ATTRIBUTE**

**Objective:** Controls are checks and restraints designed into a process to ensure a desired result. The questions in this section of the data collection tool are designed to assist the inspector in determining if checks and restraints are designed into the process to ensure the desired result is achieved. Controls should be written into the manual system to ensure that the most important manual policies, procedures or instructions and information will be complied with.

Controls may be in the form of "administrative controls" which are secondary or supplemental written procedures. Like written procedures, administrative controls also need to provide answers to the associated who, what, when, where and how type questions. Controls may also be in the form of "engineered controls" such as automated features or mechanical actions or devices (i.e., safety devices, warning devices, etc.).

**Tasks**

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review the control questions below.
- 2 Review the Certificate Holder's policies, procedures, instructions and information to gain an understanding of the controls that it has documented.

**Questions**

To meet this objective, the inspector must answer the following questions:

2. Are the following controls built into the Continuous Analysis and Surveillance (CAS) System:
 

2.1 Is there a control in place to ensure that the Certificate Holder conducts audits to determine the performance and effectiveness of its inspection program and its program covering other maintenance, preventive maintenance, and alterations, regardless of whether those programs are carried out by the Certificate Holder or by another person?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.2 Is there a control in place to ensure that the Certificate Holder collects and analyzes data to determine the performance and effectiveness of its inspection program and its program covering maintenance, preventive maintenance, and alterations, regardless of whether those programs are carried out by the Certificate Holder or by another person?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.3 Is there a control in place to ensure that the Certificate Holder initiates corrective action plans with timelines based upon the severity of deficiencies in its inspection program and its program covering other maintenance, preventive maintenance, and alterations?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.4 Is there a control in place to ensure that the Certificate Holder's Continuous Analysis and Surveillance (CAS) System meetings are effective in identifying systemic problems, determining the root cause of deficiencies, and determining appropriate corrective actions?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.5 Is there a control in place to ensure that the Certificate Holder conducts adequate follow-up to ensure that corrective actions are appropriate, timely, and effective?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.6 Is there a control in place to ensure that the Certificate Holder complies with the requirements in its Continuous Analysis and Surveillance (CAS) System for responding to emergency/critical situations?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.7 Is there a control in place to ensure that the personnel who carry out the functions of the Continuous Analysis and Surveillance (CAS) System are	<input type="checkbox"/> Yes



properly trained?	<input type="checkbox"/> No, Explain
2.8 Are there controls in place to ensure that the general, administrative and personnel requirements of the Certificate Holder's Continuous Analysis and Surveillance (CAS) System are properly complied with?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.9 Does the Certificate Holder have a documented method for assessing the impact of any changes made to the controls in the Continuous Analysis and Surveillance (CAS) System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<b>SAI SECTION 2 – CONTROLS ATTRIBUTE –Drop Down Menu</b>
1. No controls specified.
2. Documentation for the controls do not identify (who, what, when, where, how).
3. Controls incomplete.
4. Controls could be circumvented.
5. Controls could be unenforceable.
6. Resource requirements incomplete (personnel, facilities, equipment, technical data).
7. Other.

**SAI SECTION 3 – PROCESS MEASUREMENT ATTRIBUTE**

**Objective:** Process measurements are used by the Certificate Holder to measure and assess its processes to identify and correct problems or potential problems and to make improvements to the processes. The questions in this section of the data collection tool are designed to assist the inspector in determining if the Certificate Holder measures or assesses information to identify, analyze and document potential problems with the process. Process measurements are basically a Certificate Holder's internal evaluation or auditing of the most important policies, procedures or instructions and information associated with an element.

To prevent the duplication of work that would otherwise occur, Process Measurements are most commonly addressed through a combination of auditing features contained in both the Certificate Holder's Safety Program/Internal Evaluation Program (for Operations and Cabin Safety related issues) and the auditing function of the Continuous Analysis & Surveillance System (for Airworthiness or Maintenance/Inspection related issues). The Director of Safety and the Quality Assurance Department often work in conjunction to accomplish this function for the Certificate Holder. This approach simply requires amendment of the Safety Program/Internal Evaluation Program audit forms or checklists and the Continuous Analysis & Surveillance System audit forms or checklists to include the specific process measurements for each element.

**Tasks**

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review the process measurement questions below.
- 2 Review the Certificate Holder's policies, procedures, instructions and information to gain an understanding of the process measurements that it has documented.

**Questions**

To meet this objective, the inspector must answer the following questions:

3. Does the Certificate Holder's Continuous Analysis and Surveillance (CAS) system include the following process measurements:
 

3.1 Process measurements that would reveal if the Certificate Holder failed to conduct audits to determine the performance and effectiveness of its inspection program and its program covering other maintenance, preventive maintenance, and alterations, regardless of whether those programs were carried out by the Certificate Holder or by another person?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.2 Process measurements that would reveal if the Certificate Holder failed to collect and analyze data to determine the performance and effectiveness of its inspection program and its program covering maintenance, preventive maintenance, and alterations, regardless of whether those programs were carried out by the Certificate Holder or by another person?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.3 Process measurements that would reveal if the Certificate Holder failed to initiate corrective action plans with timelines based upon the severity of deficiencies in its inspection program and its program covering other maintenance, preventive maintenance, and alterations?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.4 Process measurements that would reveal if the Certificate Holder's Continuous Analysis and Surveillance (CAS) System meetings were not effective in identifying systemic problems, determining the root cause of deficiencies, and determining appropriate corrective	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

actions?	
3.5 Process measurements that would reveal if the Certificate Holder failed to conduct adequate follow-up to ensure that corrective actions were appropriate, timely, and effective?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.6 Process measurements that would reveal if the Certificate Holder failed to comply with the requirements in its Continuous Analysis and Surveillance (CAS) System for responding to emergency/critical situations?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.7 Process measurements that would reveal if the personnel who carry out the functions of the Continuous Analysis and Surveillance (CAS) System were not properly trained?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.8 Process measurements that would reveal if the general, administrative, and personnel requirements of the Certificate Holder's Continuous Analysis and Surveillance (CAS) System were not properly complied with?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.9 Does the Certificate Holder document its process measurement methods and results?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.10 Does the organization that conducts the process measurements have direct access to the person with responsibility for the Continuous Analysis and Surveillance (CAS) System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<b>SAI SECTION 3 – PROCESS MEASUREMENT ATTRIBUTE –Drop Down Menu</b>	
1. No process measurements specified.	
2. Documentation for the process measurements does not identify (who, what, when, where, how).	
3. Inability to identify negative findings.	
4. No provisions for implementing corrective actions.	
5. Ineffective follow-up to determine effectiveness of corrective actions.	
6. Resources requirements (personnel, facilities, equipment, technical data).	
7. Other.	

**SAI SECTION 4 – INTERFACES ATTRIBUTE**

**Objective:** Interfaces are used by the Certificate Holder to identify and manage the interactions between processes. The questions in this section of the data collection tool are designed to assist the inspector in determining whether or not interactions between the procedures, policies or instructions and information associated with other independent processes within the Certificate Holder's organization are documented. Written procedures, policies or instructions and information that are interrelated and located in different manuals within the Certificate Holder's manual system need to be consistent and complement each other. For the interfaces to be effectively managed, it is not only important to identify what the interfaces are, but it is imperative to document the specific location of the interfaces within the Certificate Holder's manual system.

**Tasks**

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review the interfaces associated with the Continuous Analysis and Surveillance (CAS) System that have been identified along with the individual questions in the Procedures Section (1) of this data collection tool.
- 2 Review the Certificate Holder's policies, procedures or instructions and information to gain an understanding of the interfaces that it has documented.

**Questions**

To meet this objective, the inspector must answer the following questions:

NOTE: ALL EXPLANATIONS IN THE DROP DOWN MENU FOR "NO" ANSWERS MUST INCLUDE THE INDIVIDUAL QUESTION NUMBER FROM THE PROCEDURES SECTION (1) OF THIS DATA COLLECTION TOOL AND THE ELEMENT NUMBER OF THE DISCREPANT INTERFACE.

- |     |  |  |
|-----|--|--|
| 4   | Does the Certificate Holder's manual:  |  |
| 4.1 | Properly address the interfaces that are identified along with the individual questions in the Procedures Section (1)?                               | <input type="checkbox"/> Yes<br><input type="checkbox"/> No, Explain |
| 4.2 | Document a method for assessing the impact of any changes to the associated interfaces within the Continuous Analysis and Surveillance (CAS) System? | <input type="checkbox"/> Yes<br><input type="checkbox"/> No, Explain |
| 4.3 | List additional interfaces identified during the accomplishment of this SAI.   |  |

<b>SAI SECTION 4 – INTERFACES ATTRIBUTE –Drop Down Menu</b>
1. No interfaces specified.
2. The following interfaces not identified within the Certificate Holder's manual system:
3. Interfaces listed are inaccurate.
4. Specific location of interfaces not identified within the manual system.
5. Other

**SAI SECTION 5 – MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE**

**Objective:** The questions in this section of the data collection tool address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified and knowledgeable person who is responsible for the process, is answerable for the quality of the process and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

**Tasks**

To meet this objective, the inspector must accomplish the following tasks:

- 1 Identify the person who has overall responsibility for the Continuous Analysis and Surveillance (CAS) System.
- 2 Identify the person who has overall authority for the Continuous Analysis and Surveillance (CAS) System.
- 3 Review the duties and responsibilities of the person(s), documented in the Certificate Holder's manual.
- 4 Review the appropriate organizational chart.

**Questions**

To meet this objective, the inspector must answer the following questions:

- 5 Are the following aspects of the Management Responsibility and Authority Attributes addressed in the Continuous Analysis and Surveillance (CAS) System:
  - 5.1 Does the Certificate Holder's manual clearly identify who is responsible for the quality of the Continuous Analysis and Surveillance (CAS) System?
 

☐ Yes  
☐ No, Explain Name/Title:
  - 5.2 Does the Certificate Holder's manual clearly identify who has authority to establish and modify the policies, procedures, instructions and information for the Continuous Analysis and Surveillance (CAS) System?
 

☐ Yes  
☐ No, Explain Name/Title:
  - 5.3 Does the Certificate Holder's manual include the duties and responsibilities of those who manage the work required by the Continuous Analysis and Surveillance (CAS) System?  
SRRs: 121.135(b)(2)
 

☐ Yes  
☐ No, Explain
  - 5.4 Does the Certificate Holder's manual include the duties and responsibilities of those who manage the work required by the Continuous Analysis and Surveillance (CAS) System?  
SRRs: 121.135(a)(1)
 

☐ Yes  
☐ No, Explain
  - 5.5 Does the Certificate Holder's manual clearly and completely document the authority for this position?
 

☐ Yes  
☐ No, Explain
  - 5.6 Does the Certificate Holder's manual clearly and completely document their qualification standards for the person having responsibility for the Continuous Analysis and Surveillance (CAS) System?
 

☐ Yes  
☐ No, Explain
  - 5.7 Does the Certificate Holder's manual clearly and completely document their qualification standards for the person having authority to establish and modify the Certificate Holder's policies, procedures, instructions and information for the Continuous Analysis and Surveillance (CAS) System?
 

☐ Yes  
☐ No, Explain



5.8 Does the Certificate Holder's manual clearly and completely document the procedures for delegation of authority for the Continuous Analysis and Surveillance (CAS) System?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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<b>SAI SECTION 5 – MANAGEMENT RESPONSIBILITY &amp; AUTHORITY ATTRIBUTE –Drop Down Menu</b>
1. Not documented.
2. Documentation unclear.
3. Documentation incomplete.
4. Other.